

**Department of General Services
Records Management Program**

SCHEDULE
NUMBER 2112

RECORDS RETENTION AND DISPOSAL SCHEDULE

PAGE 1 OF 2

DEPARTMENT OF HEALTH & MENTAL HYGIENE

All Units including Local Health Departments, Facilities, Professional Boards & Commissions

Item #	Description of Records (Programs, Forms, etc.)	Retention
	<p align="center">General Schedule - Administrative Records</p> <p align="center">(THIS IS A <u>DEFAULT</u> DHMH SCHEDULE FOR RECORDS CREATED AND USED IN THE ADMINISTRATION AND OPERATION OF THE VARIOUS DHMH SUBDIVISIONS AND OFFICES. THIS SCHEDULE IS NOT AUTHORIZED FOR USE WITH PROGRAM FILES, WHICH REQUIRE PREPARATION OF INDIVIDUALIZED SCHEDULES.)</p>	
1.	<p>Administrative Communication- includes incoming and outgoing letters, faxes, e-mails, recordings, and other types of communication.</p> <p>E-mail of continuing administrative value should be saved to pc hard-drive or else printed, and handled as printed communications. Electronic files may be erased after verifying printed or transcribed hard-copies of the documents. Memos of short-term interest e.g., appointments, post-it notes, reminders, FYI-files, calendars, etc., are considered "working files" and are temporary, non-record materials.</p>	<p>1. Establish annual folders, maintaining current year and three (3) previous year's folders in office or records center. Screen files for duplicate and non-record material which may be destroyed if no longer needed.</p> <p>Temporary working files, memos, etc. are to be destroyed when no longer needed. Non-record e-mails are to be deleted from server within 30 days of receipt. Record copy e-mails (which have been downloaded to pc hard drive) should be backed-up at least semi-annually and retain back-up for three (3) years.</p>
2.	<p>a. Budget and Accounting Records-</p> <ul style="list-style-type: none"> ■ Annual Budget Requests ■ Timekeeping and Leave Records ■ Petty cash receipts, requisitions, order forms, inventory records, etc. ■ Other budget or accounting records <p>Electronic Accounting Files- including spreadsheets, databases, tables, etc., that are not kept in printed format, or are ongoing, continuing records.</p> <p>b. Contracts (Retention period starts at completion of contract).</p> <p>c. Audits</p>	<p>2 a. Organize records by fiscal year. Retain current year and three (3) previous years folders until all audit requirements are met, then destroy if no longer needed.</p> <p>Backup at least semi-annually, retain backup copy for three (3) years and until all audit requirements are met, then erase if no longer needed.</p> <p>2 b. Retain completed contracts for five (5) years and until audit requirements are met, then destroy.</p> <p>2 c. Retain Internal and Legislative Audits for ten (10) years, then destroy. All other audits are permanent. Transfer periodically to State Archives.</p>
3.	<p>Supervisor's Personnel Files- supervisor's working papers, such as PEP documentation, doctor's notes for sick leave, and other papers used by the supervisor. (This is not the "official" personnel file, which is maintained in the Personnel Services Administration or Personnel Office).</p>	<p>3. Screen periodically, removing outdated information. Retain until employee transfers or retires, then destroy.</p>

APPROVED BY: (DHMH Official)

SIGNATURE:

Jonathan R. Seeman DATE 2/5/01
Jonathan Seeman, Deputy Secretary for Operations

AUTHORIZED BY: (State Archivist)

SIGNATURE:

Edward C. Papenfuse Jr. DATE MAR 12 2001
Edward C. Papenfuse, Jr., State Archivist

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RECORDS RETENTION AND DISPOSAL SCHEDULE

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DEPARTMENT OF HEALTH & MENTAL HYGIENE

All Units including Local Health Departments, Facilities, Professional Boards & Commissions

Item No.	Record Series Description	Retention
4.	Records Management File- Contains authorized Records Retention and Disposal Schedules, completed Records Transmittal and Receipt forms with storage locations, Certificates of Record Disposal, Records Inventory Forms, Electronic Record Worksheets, etc.	Retain permanently; periodically transfer to State Archives.
5.	Unit History File- Information screened from other record series including documents which shows the development of the Department, unit, or program; documents signed by the Governor; unit publications (one copy of each); copies of internet/ intranet home pages, etc; newspaper/magazine/ internet articles; film, photo, VCR/digital recordings of ceremonies, awards, etc.	Retain permanently; periodically transfer to the DHMH History File, for eventual transfer to the State Archives.

INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH NEW REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)		DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 - JESSUP, MARYLAND 20784		AGENCY RECORDS INVENTORY Page <u>1</u> of <u>5</u>	
1. DEPARTMENT/AGENCY <u>DHMAH</u>		2. DIVISION <u>ENTIRE DEPT</u>		3. UNIT	
DEFINITION - Records Series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.					
4. RECORD SERIES TITLE <u>ADMIN COMMUNICATION-</u>				5. EARLIEST YEAR / LATEST YEAR <u>10</u>	
6. RECORD SERIES DESCRIPTION (Briefly, describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series) <u>Incoming/outgoing mail, faxes, recordings, emails, etc</u>					
7. RECORD SERIES FORMAT(S) <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input checked="" type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (Specify) _____		8. RECORD SERIES SEQUENCE <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input checked="" type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (Specify) _____		9. VOLUME <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (Specify) _____ Number _____	
		10. ANNUAL ACCUMULATION <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (Specify) _____ Number _____			
11. FILE IS USED <input checked="" type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly		12. FILE BECOMES INACTIVE AFTER <u>End of Year</u> <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s) Number _____			
13. CURRENT LOCATION(S) (Bldg, Floor, Room) <u>ALL</u>		14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office) <u>some</u> <input checked="" type="checkbox"/> Yes <u>electronic-computer</u> <input type="checkbox"/> No			
15. ACCESS RESTRICTIONS (If yes, cite law(s) & regulation(s)) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		16. AUDIT REQUIREMENTS <input checked="" type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent			
17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any hardware/software) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. RECOMMENDED RETENTION <u>current year plus 3 yrs.</u>			
19. NAME AND TITLE OF PREPARER <u>J. Krawtch</u>		20. TELEPHONE NUMBER <u>410 767-5934</u>		21. DATE <u>1/30/2001</u>	

INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH NEW REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)		DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 - JESSUP, MARYLAND 20794		AGENCY RECORDS INVENTORY Page <u>2</u> of <u>5</u>	
1. DEPARTMENT/AGENCY DHMH		2. DIVISION		3. UNIT	
DEFINITION - Records Series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.					
4. RECORD SERIES TITLE Budget & Accounting (Admin)				5. EARLIEST YEAR / LATEST YEAR _____ TO _____	
6. RECORD SERIES DESCRIPTION (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series.) <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> (A) Annual Budget Requests - Leave & Time Keeping - cash rpts, rgn's, orders, inventory, etc. </div> <div style="width: 45%;"> (B) Audits - Int & Ext 10 yrs other - Perm </div> </div> <div style="margin-top: 10px;"> (C) contracts - other </div>					
7. RECORD SERIES FORMAT(S) <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input checked="" type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (Specify) _____		8. RECORD SERIES SEQUENCE <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (Specify) _____		9. VOLUME <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (Specify) _____ Number _____	
11. FILE IS USED <input checked="" type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly		12. FILE BECOMES INACTIVE AFTER _____ Number _____ <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s)			
13. CURRENT LOCATION(S) (Bldg., Floor, Room) 201 W. Preston & ALL		14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office) <input checked="" type="checkbox"/> Yes <u>budget, accounting, personnel, etc.</u> <input type="checkbox"/> No			
15. ACCESS RESTRICTIONS (If yes, cite law(s) & regulation(s)) <input type="checkbox"/> Yes _____ <input type="checkbox"/> No		16. AUDIT REQUIREMENTS <input type="checkbox"/> None <input checked="" type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent			
17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any hardware/software) <input type="checkbox"/> Yes _____ <input checked="" type="checkbox"/> No		18. RECOMMENDED RETENTION Fiscal year - 3 yrs plus current year Contracts - 5 Audits 10 / permanent			
19. NAME AND TITLE OF PREPARER T. Krawitz		20. TELEPHONE NUMBER 410-767-5734		21. DATE 1/30/88	

INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH NEW REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)		DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 - JESSUP, MARYLAND 20794		AGENCY RECORDS INVENTORY Page <u>3</u> of <u>5</u>	
1. DEPARTMENT/AGENCY <i>DTHH</i>		2. DIVISION <i>ALL</i>		3. UNIT	
DEFINITION - Records Series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.					
4. RECORD SERIES TITLE <i>Employee Personnel Files</i>				5. EARLIEST YEAR / LATEST YEAR _____ TO _____	
6. RECORD SERIES DESCRIPTION (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series) <i>Supervisor's records of employee - includes leave documentation, etc.</i>					
7. RECORD SERIES FORMAT(S) <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (Specify) _____		8. RECORD SERIES SEQUENCE <input checked="" type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (Specify) _____		9. VOLUME <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel (s) <input type="checkbox"/> Computer Tape (s) <input type="checkbox"/> Other (Specify) _____ _____ Number	
11. FILE IS USED <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly		12. FILE BECOMES INACTIVE AFTER <i>Empl Leaves</i> <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s) Number			
13. CURRENT LOCATION(S) (Bldg, Floor, Room)		14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office) <input type="checkbox"/> Yes <i>Personnel</i> <input type="checkbox"/> No			
15. ACCESS RESTRICTIONS (If yes, cite law(s) & regulation(s)) <input checked="" type="checkbox"/> Yes _____ <input type="checkbox"/> No		16. AUDIT REQUIREMENTS <input checked="" type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent			
17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any hardware/software) <input type="checkbox"/> Yes _____ <input checked="" type="checkbox"/> No		18. RECOMMENDED RETENTION <i>Destroy when employee leaves</i>			
19. NAME AND TITLE OF PREPARER <i>T. Kravitz</i>		20. TELEPHONE NUMBER <i>767-5934</i>		21. DATE <i>1/30/2001</i>	

INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH NEW REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)		DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 - JESSUP, MARYLAND 20794		AGENCY RECORDS INVENTORY Page <u>4</u> of <u>5</u>	
1. DEPARTMENT/AGENCY DHMLL		2. DIVISION ALL		3. UNIT	
DEFINITION - Records Series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.					
4. RECORD SERIES TITLE Records Mgt File - (unit)				5. EARLIEST YEAR / LATEST YEAR _____ TO _____	
6. RECORD SERIES DESCRIPTION (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series) Copy of schedules, transmittals, records inventories, Certificates of Disposal, Electronic Record Worksheets, etc. needed to provide audit trail for all unit's records.					
7. RECORD SERIES FORMAT(S) <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (Specify) _____		8. RECORD SERIES SEQUENCE <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (Specify) _____		9. VOLUME <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (Specify) _____ Number _____	
11. FILE IS USED <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly		12. FILE BECOMES INACTIVE AFTER <u>Schedules are kept permanently.</u> <u>as are transmittals & Certificates</u> <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s) Number _____			
13. CURRENT LOCATION(S) (Bldg., Floor, Room) ALL		14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office) <input checked="" type="checkbox"/> Yes <u>Records Officer has originals.</u>			
15. ACCESS RESTRICTIONS (If yes, cite law(s) & regulation(s)) <input type="checkbox"/> Yes _____ <input checked="" type="checkbox"/> No		16. AUDIT REQUIREMENTS <input checked="" type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent			
17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any hardware/software) <input type="checkbox"/> Yes _____ <input checked="" type="checkbox"/> No		18. RECOMMENDED RETENTION Each unit needs to maintain their Records Mgt file permanently.			
19. NAME AND TITLE OF PREPARER T. Kravitz		20. TELEPHONE NUMBER 410 767-5934		21. DATE 01/30/01	

INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH NEW
REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION
SCHEDULE (DGS 550-1)

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
7275 WATERLOO ROAD
P.O. BOX 275 - JESSUP, MARYLAND 20794

AGENCY RECORDS INVENTORY

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1. DEPARTMENT/AGENCY

DHMH

2. DIVISION

ALL

3. UNIT

DEFINITION - Records Series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.

4. RECORD SERIES TITLE

Unit History File

5. EARLIEST YEAR / LATEST YEAR

____ TO ____

6. RECORD SERIES DESCRIPTION (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series)

This item authorizes units to maintain a permanent history file for those items which illustrate the development of the unit, department, program, policies, etc. May contain historic or valuable items, one copy of each publication produced, awards, photos, etc.

7. RECORD SERIES FORMAT(S)

- ☒ Letter Size ☐ Microfilm
☐ Legal Size ☐ Computer Tape
☐ Bound Book ☐ Floppy Disk
☐ Audio Tape ☐ Video Tape
☐ Other (Specify) *MISC*

8. RECORD SERIES SEQUENCE

- ☐ Alphabetical
☐ Numerical
☐ Chronological
☐ Geographical
☐ Other (Specify) *N/A*

9. VOLUME

- ☐ File Drawer(s)
☐ Microfilm Reel(s)
☐ Computer Tape(s)
☐ Other (Specify) _____

Number _____

10. ANNUAL ACCUMULATION

- ☐ File Drawer(s)
☐ Microfilm Reel(s)
☐ Computer Tape(s)
☐ Other (Specify) _____

Number _____

11. FILE IS USED

- ☐ Daily ☐ Weekly ☒ Monthly

12. FILE BECOMES INACTIVE AFTER

N/A
Number

Permanent
☐ Month(s) ☐ Year(s)

13. CURRENT LOCATION(S) (Bldg., Floor, Room)

14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office)

- ☐ Yes _____ ☐ No

15. ACCESS RESTRICTIONS (If yes, cite law(s) & regulation(s))

- ☐ Yes _____ ☐ No

16. AUDIT REQUIREMENTS

- ☒ None ☐ State ☐ Federal ☐ Independent

17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any hardware/software)

- ☐ Yes _____ ☒ No

18. RECOMMENDED RETENTION

Permanent - transfer to DHMH History file periodically

19. NAME AND TITLE OF PREPARER

T. Krawitz

20. TELEPHONE NUMBER

410 767-5934

21. DATE

01/30/01